

**CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY - CONSTRUCTION
SEWERS ONLY**

Filing Requirements Checklist

(Applicable Authority: KRS 278.020(1), 807 KAR 5:001, Sections 8 and 9(2))

Case No. _____ Utility Name _____ Received Date _____ Form Circulation Date _____

Instructions:

- 1) Each Division noted by checkmark () is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all Divisions.

Reviewed by Following Divisions:

	<u>Staff Member</u>	<u>Date</u>
_____ Filings Division	_____	_____
_____ Financial Analysis	_____	_____
_____ Engineering	_____	_____
_____ Legal	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	Requirement <u>Met</u>	Waiver <u>Requested</u>	Approve <u>Waiver?</u>
			<u>YES</u> <u>NO</u>		<u>YES</u> <u>NO</u>
	<u>807 KAR 5:001:</u>				
Filings Division	Section 8(1)	Full name and post office address of applicant and a reference to the particular provision of law requiring Commission approval.	_____	_____	_____
Filings Division	Section 8(2)	The original and 10 copies of the application with an additional copy for any party named therein as an interested party.	_____	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Legal	Section 8(3)	If applicant is a corporation, a certified copy of the Articles of Incorporation and all amendments thereto <u>or</u> if the articles were filed with the PSC in a prior proceeding, a reference to the style and case number of the prior proceeding.	—	—	—	—	—
	<u>Section 9(2)</u>						
Engineering		(a) The facts relied upon to show that the proposed new construction is or will be required by public convenience or necessity.	—	—	—	—	—
Engineering		(b) Copies of franchises or permits, if any, from the proper public authority for the proposed new construction or extension, if not previously filed with the commission.	—	—	—	—	—
Engineering		(c) A full description of the proposed location, route, or routes of the new construction or extension, including a description of the manner in which same will be constructed, and also the names of all public utilities, corporations, or persons with whom the proposed new construction or extension is likely to compete.	—	—	—	—	—

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
	807 KAR 5:001: <u>Section 9(2)</u>						
Engineering		(d) Three (3) maps to suitable scale (preferably not more than two (2) miles per inch) showing the location or route of the proposed new construction or extension, as well as the location to scale of any like facilities owned by others located anywhere within the map area with adequate identification as to the ownership of such other facilities.	—	—	—	—	—
Finanacial Analysis		(e) The manner, in detail, in which it is proposed to finance the new construction or extension.	—	—	—	—	—
Engineering and Financial Analysis		(f) An estimated cost of operation after the proposed facilities are completed.	—	—	—	—	—
	807 KAR 5:071: <u>Section (3)(1)</u>						
Legal		(a) A copy of a valid third-party beneficiary agreement guaranteeing the continued operation of the sewage treatment facilities or other evidence of financial integrity such as will insure the continuity of sewage service.	—	—	—	—	—

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
Engineering		(b) A copy of a preliminary approval issued by the Division of Water Quality of the Kentucky Department for Natural Resources and Environmental Protection approving the plans and specifications of the proposed construction.	___	___	___	___	___
Engineering		(c) A detailed map of the sewage treatment facilities showing location of plant, effluent discharge, collection mains, manholes, and utility service area.	___	___	___	___	___
Engineering and Financial Analysis		(d) A detailed estimated cost of construction which should include all capitalized costs (construction, engineering, legal, administrative, etc.).	___	___	___	___	___
Financial Analysis		(e) A financial exhibit as described in Section 6 of 807 KAR 5:001.	___	___	___	___	___
Financial Analysis		(f) The manner, in detail, in which it is proposed to finance the new construction, specifically stating amount to be invested, recouped through lot sales, or contributions (to be) received, etc.	___	___	___	___	___
Financial Analysis		(g) An estimated cost of operation after the proposed facilities are completed.	___	___	___	___	___

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			<u>YES</u>	<u>NO</u>		<u>YES</u>	<u>NO</u>
	807 KAR 5:071: Section (3)(1)						
Financial Analysis		(h) An estimate of the total number of customers to be served by the proposed sewage treatment facilities, initially and ultimately the class of customers served (i.e., residential, commercial, apartments, recreational, institutional, etc.) and the average monthly water consumption for each class of customer.	—	—	—	—	—
Financial Analysis		(i) A copy of the latest tax returns (federal and state, if applicable) filed by the applicant.	—	—	—	—	—
Engineering and Financial Analysis		(j) A detailed depreciation schedule of all treatment plant, property and facilities, both existing and proposed, listing all major components of "package" treatment plants separately.	—	—	—	—	—
Financial Analysis		(k) The proposed rates to be charged for each class of customers and an estimate of the annual revenues derived from the customers using the proposed rate schedules.	—	—	—	—	—
Legal		(l) A full and complete explanation of corporate or business relationships between the applicant and a parent or brother-sister corporation, subsidiary(ies), a development corporation(s), or any other party or business to afford the commission a full and complete understanding of the situation.	—	—	—	—	—
		(m) If the establishment of rates is not sought by the applicant, omit paragraphs (i), (j), and (k) above.					